

Please type a plus sign (+) inside this box

+

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paper Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

2825  
He

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/845,138
Filing Date	April 30, 2001
First Named Inventor	Otero
Group Art Unit	2825
Examiner Name	Not yet assigned
Attorney Docket Number	G08.052

Total Number of Pages in This Submission

4 PAGES +  
3 PAGES

## ENCLOSURES (check all that apply)

- |   |   |  |
|---|---|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s)<br><br>Remarks | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form PTO-1449, cited references, and Acknowledgement Postcard. |
|---|---|--|

RECEIVED  
NOV - 8 2002  
TC 2800 MAIL ROOM

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name  
Kurt M. Maschoff

Signature

Date

November 1, 2002

RECEIVED

NOV 14 2002

GROUP 3600

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: November 1, 2002

Type or printed name  
Edith Martin

Signature

Date

November 1, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: OTERO et al.

Application No.: 09/845,138

Filing Date: April 30, 2001

For: APPARATUS, METHODS AND  
ARTICLES OF MANUFACTURE  
FOR CONSTRUCTING AND  
EXECUTING COMPUTERIZED  
TRANSACTION PROCESSES AND  
PROGRAMS

) Group Art Unit: 2825

) Examiner: Not yet assigned

) **INFORMATION DISCLOSURE  
STATEMENT**

) Attorney Docket No.: G08.052

) Buckley, Maschoff, Talwalkar & Allison LLC  
) 5 Elm Street  
) New Canaan, CT 06840  
) (203) 972-0006

Commissioner for Patents  
Washington, DC 20231

Sir:

This Information Disclosure Statement is submitted:

**RECEIVED**  
NOV 14 2002  
**GROUP 3600**

RECEIVED  
NOV - 8 2002  
TC 2800 MAIL ROOM

- ☒ under 37 CFR 1.97(b);  
(within 3 months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
- ☐ Statement under 37 CFR 1.97(e), or
  - ☐ \$ \_ fee under 37 CFR 17(p); or  
(after 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
- ☐ Statement under 37 CFR 1.97(e),
  - ☐ Petition under 37 CFR 1.97(d)(2)(ii), and
  - ☐ \$ \_ petition fee under 37 CFR 17(i).  
(after 37 CFR 1.97(c) time period, but before payment of issue fee)

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

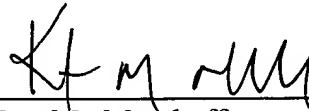
The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

Respectfully submitted,

November 1, 2002

Date



---

Kurt M. Maschoff  
Registration No. 38,235  
Buckley, Maschoff, Talwalkar & Allison LLC  
5 Elm Street  
New Canaan, CT 06840  
(203) 972-0081